

## Securities and Exchange Commission

§ 259.403

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-12(I)-A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 259.212b Form U-12(I)-B, for advance statement of activity within scope of section 12(i) of the Act pursuant to Rule 71(b) (§ 250.71(b) of this chapter).**

This form may be filed as an advance statement pursuant to Rule 71(b) (§ 250.71(b) of this chapter) by certain persons designated therein covering anticipated activity within the scope of section 12(i) of the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-12(I)-B, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 259.213 Form U-13E-1, for report by affiliate companies and independent service companies pursuant to Rule 95 (§ 250.95 of this chapter).**

This form shall be filed pursuant to Rule 95 (§ 250.95 of this chapter) by an affiliate of a registered public utility holding company or subsidiary company thereof in connection with the performance of any service, construction or sale of goods to an affiliate.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-13E-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 259.221 Form U-R-1, for solicitations pursuant to Rule 62 (§ 250.62 of this chapter), in connection with reorganizations.**

This form shall be filed for the declaration pursuant to Rule 62 (§ 250.62 of this chapter) for solicitations in connection with any reorganization subject to the rule.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-R-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## Subpart D—Forms for Periodic Accounting Reports

**§ 259.313 Form U-13-60, for annual reports pursuant to Rule 94 (§ 250.94 of this chapter) by mutual and subsidiary service companies required by section 13 of the Act.**

This form shall be filed pursuant to Rule 94 (§ 250.94 of this chapter) by every mutual service company and every subsidiary service company required thereunder to file annual reports under section 13 of the Act. (See uniform system of accounts for mutual and subsidiary service companies, Part 256 of this chapter.)

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-13-60, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## Subpart E—Forms for Statements and Reports From Nonregistered (Exempt) Companies

**§ 259.402 Form U-3A-2, for annual reports pursuant to Rule 2 (§ 250.2 of this chapter) for exempt holding companies which are intrastate or predominantly operating companies.**

This form shall be filed as the annual report under Rule 2 (§ 250.2 of this chapter) by every public utility holding company claiming exemption under section 3 of the Act as an intrastate or predominantly operating company.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-3A-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 259.403 Form U-3A3-1, for annual reports pursuant to Rule 3 (§ 250.3 of this chapter) for banks which are exempt holding companies.**

This form shall be filed pursuant to paragraph (c) of Rule 3 (§ 250.3(c) of this chapter) by any bank claiming exemption from any obligation, duty or liability as a holding company under the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-3A3-1, see the List of CFR Sections Affected, which appears in